



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

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H. Alpar, et al.

)

GROUP ART UNIT: 1642

Serial No.: 09/937,066

)

EXAMINER: unknown

P#5  
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Filed: September 20, 2001

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NOV 20 2002

For: POLYCATIONIC CARBOHY-  
DRATES AS IMMUNOSTIMU-  
LANTS IN VACCINES

)

TECH CENTER 1600/2900

November 4, 2002  
Attorney Docket No. 41577/263691

I hereby certify that this correspondence is being  
mailed with the United States Postal Service  
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the Assistant Commissioner for Patents, Washington,  
D.C. 20231, on November 4, 2002.

Dean W. Kinner

Signature

Assistant Commissioner  
for Patents  
Washington, D.C. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98,  
Applicants identify the materials listed below and on the  
modified form PTO-1449 accompanying this submission:

NON-U.S. PATENT DOCUMENTS

| <u>Number</u> | <u>Country/Region</u> | <u>Date</u>       |
|---------------|-----------------------|-------------------|
| WO 99/01498   | WIPO/PCT              | January 14, 1999  |
| WO 98/30207   | WIPO/PCT              | July 16, 1998     |
| WO 96/05810   | WIPO/PCT              | February 29, 1996 |
| 0571671       | Europe (EPO)          | December 1, 1993  |

OTHER MATERIAL

Abstract of Japanese Patent Publication No. JP07118170,  
May 9, 1995.

Copies of the listed materials are enclosed. Applicants do not concede that the identified materials, or any of them, constitute prior art within the meaning of the United States patent laws.

Applicants are submitting this paper before receipt of an Office Action concerning the merits of the invention claimed in the application and thus believe no fee is due. See 37 C.F.R. § 1.97(b). However, if Applicants' belief is mistaken, the Assistant Commissioner is authorized to debit deposit account No. 11-0855 for any such fee presently due.

Respectfully submitted,

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|---|--|-----------------------------------|------------------------|
| Form PTO-1449   | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE | ATTORNEY DOCKET NO.: 41577/263691 | SERIAL NO.: 09/937,066 |
| MATERIAL INFORMATION STATEMENT<br>(Use several sheets if necessary) |  | APPLICANT: H. Alpar, et al.       |                        |
|   |  | FILING DATE: September 20, 2001   | GROUP: Unknown         |

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE     | COUNTRY      | CLASS | SUBCLASS | TRANSLATION<br>YES      NO |
|------------------|-----------------|----------|--------------|-------|----------|----------------------------|
|                  | WO 99/01498     | 01/14/99 | WIPO/PCT     |       |          |                            |
|                  | WO 98/30207     | 07/16/98 | WIPO/PCT     |       |          |                            |
|                  | WO 96/05810     | 02/29/96 | WIPO/PCT     |       |          |                            |
|                  | 057671          | 12/1/93  | Europe (EPO) |       |          |                            |
|                  |                 |          |              |       |          |                            |
|                  |                 |          |              |       |          |                            |
|                  |                 |          |              |       |          |                            |

#### **OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)**

Abstract of Japanese Patent Publication No. JP07118170, May 9, 1995

**EXAMINER:** \_\_\_\_\_ **DATE CONSIDERED** \_\_\_\_\_

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.